

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete if Known	
		Application Number	10/635,041
		Filing Date	08/04/2003
		First Named Inventor	Mark A. Moraes
		Art Unit	2168
		Examiner Name	Paul Sommerfeld
Sheet 1	of 2	Attorney Docket Number	MORAES-SOSS-1

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
PA	H	SIMONETTI, trace.8, 19 Mar 1985, wuarchive.wustl.edu/languages/c/unix-c/kernel/syscall-trace.tar.Z	
PA	I	TICHY, RCS - A System for Version Control, Software - Practice & Experience, 15, 7 Jul 1985	
PA	J	RODRIGUEZ, A System Call Tracer for Unix, Usenix Summer 1986, Atlanta, GA	
PA	K	KIM, The Design and Implementation of Tripwire, Purdue CSD-TR-93-071, 29 Aug 1994	
PA	L	SPINELLIS, Trace: A Tool for Logging OS Call Transactions, Oper. Systems Review 28(4):56-63, Oct 1994	
PA	M	SUN, Solaris truss(1) manual, SunOS 5.8, 15 Jul 1998	
PA	N	KRANENBURG, strace manual, 2003-01-21, strace.sourceforge.net/	
PA	O	GARFINKEL, Traps & Pitfalls: Practical Problems in System Call Interposition, '03 stanford.edu/~talg/	
PA	P	IBM, Process for Real Time Trace-Driven Performance Monitors. SPI.org TDB1091.0030	
PA	Q	IBM, Real-Time Trace Driven Monitor for File System Performance. SPI.org TDB1091.0041	

Examiner Signature	Paul Sommerfeld	Date Considered	4/4/2006
--------------------	-----------------	-----------------	----------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete If Known	
		Application Number	10/635,041
		Filing Date	08/04/2003
		First Named Inventor	Mark A. Moraes
		Art Unit	2168
		Examiner Name	Paul Sommerfeld
Sheet 2	of 2	Attorney Docket Number	MORAES-SOSS-1

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
PA	R	SYSINTERNALS, Filemon, www.sysinternals.com/ntw2k/source/filemon.html	
PA	S	MSDN Change Journal Records, msdn.microsoft.com/library/en-us/fileio/base/change_journal_records.asp	
PA	T	msdn.microsoft.com/library/en-us/fileio/base/obtaining_directory_change_notifications.asp	
PA	U	TAPSTONE, Features & Benefits, Technical Overview, Architecture, www.tapstone.com/feat.html	
PA	V	RELICORE, Clarity Product Features, www.relicore.com/products/features.shtml	
PA	W	CENDURA, Solution, www.cendura.com/solution/index.html	
PA	X	PEDESTAL, Intact Real-time Change Detection, www.pedestalsoftware.com/products/intact/	
PA	Y	DESMOND, Intact 3.5 Automates Building of Change Detection Baseline, eSecurity Planet, 8 Jul 2003	
PA	ZA	CONFIGURESOF, ECM Features, www.configuresoft.com/product_ecm_features.htm	
PA	ZB	ECORA, Auditor 3.0, www.ecora.com/ecora/products/auditor.asp	

Examiner Signature	Paul Sommerfeld	Date Considered	4/4/2006
--------------------	-----------------	-----------------	----------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	1
-------	---	----	---

Complete if Known

Application Number	10/635,041
Filing Date	08/04/2003
First Named Inventor	Mark A. Moraes
Art Unit	2168
Examiner Name	Paul Sommerfeld
Attorney Docket Number	MORAES-SOSS-1

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner
Signature**

Paul Aumerfeld

Date	Considered
11/1/2011	11/1/2011
11/2/2011	11/2/2011
11/3/2011	11/3/2011
11/4/2011	11/4/2011
11/5/2011	11/5/2011
11/6/2011	11/6/2011
11/7/2011	11/7/2011
11/8/2011	11/8/2011
11/9/2011	11/9/2011
11/10/2011	11/10/2011
11/11/2011	11/11/2011
11/12/2011	11/12/2011
11/13/2011	11/13/2011
11/14/2011	11/14/2011
11/15/2011	11/15/2011
11/16/2011	11/16/2011
11/17/2011	11/17/2011
11/18/2011	11/18/2011
11/19/2011	11/19/2011
11/20/2011	11/20/2011
11/21/2011	11/21/2011
11/22/2011	11/22/2011
11/23/2011	11/23/2011
11/24/2011	11/24/2011
11/25/2011	11/25/2011
11/26/2011	11/26/2011
11/27/2011	11/27/2011
11/28/2011	11/28/2011
11/29/2011	11/29/2011
11/30/2011	11/30/2011

4/4/2006

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-788-9199) and select option 2.